COMMAND INSPECTION PROGRAM ... SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: Central Division Central Division		Number: 401		
Evaluated by: Sergeant Scott Goddard		Date: 06/11/2009		
Assisted by: SSA Sandy Pac		Date: 06/11/2009		

TYPE	OF INSPECTION	d	Lead Inspe	ctor's Signatu	ire:		
⊠ Di	vision Level	Command Level		<i>a</i> (7 0	Ω	Æ
☐ Ex	ecutive Office Level	☐ Voluntary Self-Inspection	5	Ger		- V	
F	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Commande	er's Signature	1		Date: 06/11/2009
For a		o: HPM 11.2, Chapter 3	<i>(</i>)"			8	
1.		ociated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	⊠ Yes	□No	□ N/A	Remarks:	
2.	Are STD. 21 Drug Free		⊠ Yes	□No	□ N/A	Remarks:	
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained nd file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:	
4.		d Waste Management Board iintained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:	
5.	If the vendor is a small is the certification letter General Services maint		⊠ Yes	□No	□ N/A	Remarks:	
6.	When fair and reasonat reasonable method doc justified?	ole is utilized, is the fair and umented and properly	⊠ Yes	□No	□ N/A	Remarks:	
7.	Are purchases split into to circumvent transaction	multiple transactions in order n purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:	
8.	Does the CHP 317 Cal opurchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:	
9.	Are bank statements red Cal Card Log and the re	conciled with the CHP 317 ceipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM

... 3PECTION CHECKLIST

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:



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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:		
Bakersfield	Central	420		
Evaluated by: L. Logan, Sgt.		Date: 11/24/2008		
Assisted by:		Date:		
T. Roberts, Lt.		11/24/2008		

Remarks:

Remarks:

☐ N/A

□ N/A

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Şignature: ☐ Division Level □ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: Follow-up Inspection Commander's Signature: Date: Yes ⊠ No 12-1-08 For applicable policy, refer to: HPM 11.2, Chapter 3 Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Yes Remarks: □ No □ N/A Interest Statement, Employee, form? Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for Remarks: X Yes □ No N/A each vendor utilized? Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor Remarks: No □ N/A utilized? 4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor Remarks: Waived - info verified by ☐ Yes ⊠ No ☐ N/A utilized? other means (packaging) per CIWMB form 74 If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of Remarks: X Yes □ No ☐ N/A General Services maintained in the file? 6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly Yes □ No Remarks: Not utilized. Low bid or ⊠ N/A justified? certified small business utilized. 7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits? Yes Remarks: No. N/A

X Yes

X Yes

☐ No

□ No

purchase?

Does the CHP 317 Cal Card Log fully describe the

Are bank statements reconciled with the CHP 317

Cal Card Log and the receipts/invoices?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	O Le the CHD 317 Cal Cord Lag property	1		_	· · · · · · · · · · · · · · · · · · ·
	0. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
1	 Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. 	Yes	□No	⊠ N/A	Remarks: No non-itemized receipts located.
1	3. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
	4. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
	5. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks;
	6. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Grapevine I. F.	Central	3	
Inspected by:		Date: 06/15/2009	
S. A. Netzer		06/15/2009	

Page 1 of 2							
number of the inspection in the Chapter shall be routed to and its due date. This	Inspection docume	Check appropriate boxes as necessary, or fi on number. Under "Forward to:" enter the nex ent shall be utilized to document innovative pr action plans. A CHP 51 Memorandum may be	actices, suggestions for statewide				
TYPE OF INSPECTION Total hours expended on the Corrective Action Plan Included							
☐ Division Level ☐ Command L	.evel	inspection:					
Executive Office Level		2 Hours	Attachments Included				
Follow-up Required:	Forwar Divisio	rd to: Central					
☐ Yes		rr ate: 12/31/2008					
Chapter Inspection:	NAME OF						
Inspector's Comments Regard	ding In	novative Practices:	4)				
None							
Command Suggestions for Sta	atewid	e Improvement:					
None							
Inspector's Findings:		- X					
No correction action							
Commander's Response: Concur or Do Not Concur (Do Not Concur shall document basis for response)							

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2 of 2

Command:	Division:	Chapter:
Grapevine I. F.	Central	3
Inspected by:		Date:
S. A. Netzer		06/15/2009

Required Action	
Corrective Action Plan/Timeline	

Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	06/15/09
	INSPECTOR'S SIGNATURE	OG/15/ag
☐ Reviewer discussed this report with employee ☐ Concur ☐ Do not concur	REVIEWER'S SIGNATURE	06/15/09

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: Grapevine I, F. Central		Number:
Evaluated by: Lt. S. A. Netzer		Date: 11/02/2008
Assisted by: N/A		Date:

	and the second					
TYPE OF INSPECTION	Lead Inspe	ector's Signati	ire.			
☐ Division Level ☐ Command Level	54	All All	7			
Executive Office Level Voluntary Self-Inspection						
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	er's Signature	f 17		Date: 11/04/08	
For applicable policy, refer to: HPM 11.2, Chapter 3						
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	⊠ Yes	□No	□ N/A	Remarks:		
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:		
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	⊠ Yes	□No	□ N/A	Remarks:		
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:		
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:		
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks:		
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8. Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11	. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command:		Number:
Sonora	Central Division	002
Evaluated by:		Date:
Jeanie Keaster		12/19/08
Assisted by:		Date:

TYPE OF INSPECTION	Lead Inspector's Signature:						
☐ Division Level	☑ Command Level						
☐ Executive Office Level	Jewie Genster						
Follow-up Required:	☐ Follow-up Inspection	Commander's Signature: Date: 12/19/08					
For applicable policy, refer	to: HPM 11.2, Chapter 3					, ,	
Card program comple Interest Statement, Er		⊠ Yes	☐ No	□ N/A	Remarks:		
Are STD. 21 Drug Fre maintained within the each vendor utilized?	e Workplace certifications Cal Card command file for	⊠ Yes	□No	□ N/A	Remarks:		
Are STD. 204 Payee I in the Cal Card commutatilized?	Data Record forms maintained and file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:		
	ed Waste Management Board naintained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:		
	business or DVBE is utilized, r from the Department of ntained in the file?	⊠ Yes	□ No	□ N/A	Remarks:		
	able is utilized, is the fair and cumented and properly	⊠ Yes	□No	□ N/A	Remarks:		
Are purchases split int to circumvent transact	o multiple transactions in order ion purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
Does the CHP 317 Ca purchase?	Card Log fully describe the	⊠ Yes	☐ No	□ N/A	Remarks:		
Are bank statements recall Card Log and the	econciled with the CHP 317 receipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:		

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?		□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: BUTTONWILLOW (426)	Division: CENTRAL	Number:	
Evaluated by:		Date:	
MARIA PAGANO,	OFFICER	11-19-08	
Assisted by:		Date:	
LORIE BERGER		11-19-08	

TYPE	OF INSPECTION		Lead Insp	pector's Signa	ture:			
	ivision Level		1 5) Adma	Dan	\sim		
☐ E:	xecutive Office Level	☐ Voluntary Self-Inspection	20 (woods 10 M)					
F	Follow-up Required: ☐ Yes No	Follow-up Inspection	Commander's Signature: Date: 11-26.08					
For a	applicable policy, refer t	o: HPM 11.2, Chapter 3						
1	Are all employees asso Card program complet Interest Statement, Em	ociated with the use of the Cal- ing the CHP 78S, Conflict of aployee, form?	⊠ Yes	□No	□ N/A	Remarks:		
2.		e Workplace certifications Cal Card command file for		□ No	□ N/A	Remarks:		
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained nd file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:		
4.		d Waste Management Board aintained for each vendor	☐ Yes	□ No	⊠ N/A	Remarks:		
5.	If the vendor is a small is the certification letter General Services maint	business or DVBE is utilized, from the Department of ained in the file?	⊠ Yes	□No	□ N/A	Remarks:		
6.	When fair and reasonab reasonable method doc justified?	ole is utilized, is the fair and umented and properly	⊠ Yes	□No	□ N/A	Remarks:		
7.	Are purchases split into to circumvent transactio	multiple transactions in order n purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal C purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements rec Cal Card Log and the re-	conciled with the CHP 317 ceipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:		

Remarks:

Remarks:

□ N/A

☐ N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

15. Have all cardholders received training on the

16. Are item(s) purchased with the Cal Card prohibited

Department's procurement processes?

by departmental policy?

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	· No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?		□No	□ N/A	Remarks:

☐ Yes

☐ No

No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Division: Central	Number: 430
8	Date: 11/12/2008
38	Date:
	Central 8

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspection	CA/ Whilly
Follow-up Required:	Commander's Signature: Date: 11-13-08
For applicable policy, refer to: HPM 11.2, Chapter 3	
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes ☐ No ☑ N/A Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes ☑ No ☐ N/A Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	☐ Yes ☐ No ☐ N/A Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

10). Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
1′	. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks:
13	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Hanford Area	Division: Central Division	Number:		
Evaluated by: Doug Puder, ID	Date: 11/03/2008			
Assisted by: Cynthia Gonzale	es, ID A05589	Date: 11/03/2008		

TYPE OF INSPECTION	Lead Insp	ector's Signa	ture:			
☐ Division Level ☐ Command Level		_	\bigcap	0,		
☐ Executive Office Level ☐ Voluntary Self-Inspection	CL	Chamit wille, LT.				
Follow-up Required: Follow-up Inspection Yes	Command	der's Signatur	Pull	Date: 11/03/2008		
For applicable policy, refer to: HPM 11.2, Chapter 3		17				
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	☑ Yes	□No	□ N/A	Remarks: Originals in command file.		
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	☐ Yes	⊠ No	□ N/A	Remarks: Some, but not all.		
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	Yes	∭ No	□ N/A	Remarks: Some, but not all,		
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	Yes	⊠ No	□ N/A	Remarks: Only being completed by Drumright's Office Supply. Other vendors have not returned these forms to our office.		
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	☐ Yes	⊠ No	□ N/A	Remarks: Some, but not all.		
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	⊠ No	□ N/A	Remarks:		
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	OULY I X Yes	□No	□ N/A	Remarks: Only one purchase involving what appears to be a split invoice was identified on 1/10/07. This involved a propane purchase.		
Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠Yes	□No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	☐ Yes	□No	⊠ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	Yes	□No	□ N/A	Remarks: In a locked desk drawer.
14. Are Cal Card purchases pre-approved by the commander?	∑ Yes	□No	□ N/A	Remarks: This requirement is listed in the Area SOP.
15. Have all cardholders received training on the Department's procurement processes?	☐ Yes	⊠ No	□ N/A	Remarks: Automotive Technician II Richard Paredes, ID A10266, did not receive procurement training. Central Division did not have room to train every employee who needed the training.
Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Hanford Area	Central Division	3 - CAL-Card
Inspected by:		Date:
Doug Puder, ID 10045		11/03/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION ☐ Division Level ☒ Command Level Appeal Included Executive Office Level Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: PEUTRAL DIVISION 11/03/2008 X Yes No Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None identified.

Command Suggestions for Statewide Improvement:

The forms provided for this evaluation, as well as the instructions for completing these forms, are not adequate to ensure a uniform review of this subject has been conducted. As currently written, the instructions for completing this form allow for responses which are far too subjective to provide a meaningful evaluation of all commands.

The instructions for each item to be reviewed should be sufficiently expanded so as to make them very specific, comprehensive and easy for the Inspector to understand. The instructions should list exactly which documents or processes need to be examined, they should list specifically what the Inspector should be looking for, and they should provide solid examples of what is appropriate and what isn't appropriate. The instructions should be written in sufficient detail so as to make the inspection forms "stand alone" documents. References to other publications (i.e., SAM manual, Government Code, Department policy, etc.,) may be provided to answer obscure questions that may arise. However, an Inspector should definitely not be required to reference these types of sources on a routine basis in order to complete the inspection forms.

		_
Inspector's Findings:		
inspectors Finalizas.		
mapeotor a midnigs.		

See Attachment (Page 4).

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:
Hanford Area	Central Division	3 - CAL-Card
Inspected by:	Date:	
Doug Puder, ID	11/03/2008	

Commander's	Response:
-------------	-----------

Concur with Inspector's findings.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

OSS I Cynthia Gonzales, ID A05589, received procurement training from the Department on September 16, 2008. Due to limited seating at the Central Division office, AT II Richard Paredes, ID A10266, was unable to attend this training. Ms. Gonzales will provide procurement training to Mr. Paredes prior to December 31, 2008. This training will help to ensure all of our CAL-Card purchases are being made in accordance with state law and Department policy.

HPM 11.2, Section 6.d. indicates the Department's CAL-Card Program Activity Coordinator maintains a database of certified suppliers whose necessary documentation is already on file. Policy says this individual is supposed to forward periodic updates on this database to the Approving Official (at Divisions) so they can disseminate this database to their cardholders. The Hanford Area will attempt to obtain a copy of this database prior to December 31, 2008. We plan to rely heavily on this database to help us ensure we are complying with all mandated purchase requirement.

Effective immediately, Ms. Gonzales will be responsible for preliminarily reviewing her own CAL-Card purchases as well as those made by Mr. Paredes. Ms. Gonzales will ensure the purchases are appropriately documented and explained on the CHP 317 before they are forwarded to the Area Commander for final Area approval. The aforementioned review process will begin immediately and will be utilized to process all CAL-Card requisitions submitted by the Hanford Area as of today's date (11/03/2008).

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Hanford Area	Central Division	3 - CAL-Card
Inspected by:	Date:	
Doug Puder, ID	11/03/2008	

	a called the state of the state
Appeal Process: (Appeals shall be filed within five (5) business days of t	
。这种大学的是16 化多分类形式 20 mm 2	per en Carrier adapter mapeonomy.
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
	3
ad Inspector's Signature	Date:
Coustwell, LT	11/03/2008
esponding Commander's Signature (for appeal):	Date;

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMINIAND INSPECTION PRO

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 4

Inspector's Findings:

Hanford Area's CAL-Card files and CHP 317 (CAL-Card Logs) for 2007 and 2008 were reviewed. The following discrepancies were noted during the review:

- Failure to uniformly and properly code the CHP 317
 - 1. The status of "Required paperwork" was not always indicated.
 - 2. "On file" or "Attached" was not always indicated.
- Emergency purchases were not always adequately explained on the CHP 317 ("Description of Purchase" field).
- "Fair and Reasonable" method of purchasing is not documented and properly justified.
- Several vendors were used which were not Certified Small Businesses nor Certified Disabled Veteran owned businesses and no explanation was provided for using these vendors.
- One instance was identified in which it appears a purchase was split into two transactions to circumvent transaction purchase limits. Two purchases of propane were made on January 10, 2007, from Coast Gas Company. One of these purchases was for \$950.00 and the second purchase was for \$278.12. The Department previously had a contract with Coast Gas Company but allowed the contract to expire. Hanford Area was instructed by Facilities Section to use Coast Gas Company for propane purchases and pay for the purchase of propane with a CAL-Card. It is believed the amount of propane delivered exceeded the \$1000.00 purchase limit. This was the only instance of split purchases identified.
- One CAL-Card holder (Mr. Richard Paredes, ID A10266) has not received procurement training from the Department.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:		
Madera	Central	450		
Evaluated by:		Date:		
Lieutenant D. Paris		12/22/2008		
Assisted by:		Date:		

TYPE OF INSPECTION			Lead Inspector's Signature:				
☐ Di	vision Level Command Level						
□ E×	recutive Office Level						
Follow-up Required:			Commander's Signature: Date: 12/22/08				
For a	pplicable policy, refer to: HPM 11.2, Chapter 3						
	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:		
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:		
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:	ri N	
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:		
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:		
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	☐ No	□ N/A	Remarks:		
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM **INSPECTION CHECKLIST**

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Mariposa	Division: Central	Number: 455-08-002
Evaluated by: Sgt. Edward Greene, #11281		Date: 12/24/2008
Assisted by: OSS-1 Carrie Smith, #A5258		Date: 12/24/2008

TYPE	OF INSPECTION					
H	Division Level	☑ Command Level	Lead Insp	ector's Signa	ture:	
1		⊠ Command Level	7	do.		duna
E	xecutive Office Level	☐ Voluntary Self-Inspection	2.8	Julie	auc_	4
F	Follow-up Required: ☐ Yes	Follow-up Inspection	Command	er's Signatur	2.	Date: /2.29.08
		o: HPM 11.2, Chapter 3				
	Card program completi Interest Statement, Em	ociated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	⊠ Yes	□ No	□ N/A	Remarks:
2	Are STD. 21 Drug Free maintained within the C each vendor utilized?	Workplace certifications al Card command file for	⊠ Yes	□ No	□ N/A	Remarks:
	in the Cal Card commanutilized?		⊠ Yes	☐ No	□ N/A	Remarks:
4.	Form 74 documents ma utilized?	d Waste Management Board intained for each vendor	☐ Yes	⊠ No	□ N/A	Remarks: As needed.
5.	is the certification letter General Services mainta	ained in the file?	⊠ Yes	□ No	□ N/A	Remarks:
6.	reasonable method docu justified?		⊠ Yes	□ No	□ N/A	Remarks:
7.	to circumvent transaction		☐ Yes	⊠ No	□ N/A	Remarks:
8.	purchase?	ard Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements rec Cal Card Log and the rec	onciled with the CHP 317 seipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
1	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
1:	 Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. 	⊠ Yes	□ No	□ N/A	Remarks:
13	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Los Banos	Division: Central	Number:
Evalualed by: Sergeant Kevi	Date: 4/22/2009	
Assisted by: Jill Briozo – OS	Date: 4/22/2009	

TYPE OF INSPECTION		Lead Insp	ector's Signat	ure:			
☐ Division Level ☐ Command Level							
☐ Executive Office Level ☐ Voluntary Self-Inspe	ction						
Follow-up Required:	tion	Command	er's Signature	Date: 4/28/09			
For applicable policy, refer to: HPM 11.2, Chapter 3	3						
 Are all employees associated with the use of the Card program completing the CHP 78S, Conflict Interest Statement, Employee, form? 		⊠ Yes	☐ No	□ N/A	Remarks:		
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 		⊠ Yes	□No	□ N/A	Remarks:	E.	
 Are STD, 204 Payee Data Record forms maintain in the Cal Card command file for each vendor utilized? 	ned	⊠ Yes	□ No	□ N/A	Remarks:		
4. Are California Integrated Waste Management Bo Form 74 documents maintained for each vendor utilized?	ard	⊠ Yes	□ No	□ N/A	Remarks:	0	
5. If the vendor is a small business or DVBE is utiliz is the certification letter from the Department of General Services maintained in the file?	ed,	⊠ Yes	□No	□ N/A	Remarks:		
6. When fair and reasonable is utilized, is the fair an reasonable method documented and properly justified?		⊠ Yes	□ No	□ N/A	Remarks:		
7. Are purchases split into multiple transactions in or to circumvent transaction purchase limits?	rder	☐ Yes	⊠ No	□ N/A	Remarks:		
8. Does the CHP 317 Cal Card Log fully describe the purchase?		⊠ Yes	□ No	□ N/A	Remarks		
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?		⊠ Yes	□ No	□ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	⊠ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks;
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: Central	Number: 464
Chowchilla		
River Insp.		1
Facility		
Evaluated by: P. E.	Date: 12/30/08	

TYPE C	F INSPECTION		Lead Inspe	ctor's Signatu	ire:	
☐ Div	rision Level				j	
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection		er's Signature	Lee	·-
Fo	ollow-up Required: ☐ Yes No	☐ Follow-up Inspection	Commande ACTING	er's Signature	Mure	Date: 12/30/08
For applicable policy, refer to: HPM 11.2, Chapter 3						
1.		ociated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	⊠ Yes	□ No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free	Workplace certifications Cal Card command file for	⊠ Yes	□No	□ N/A	Remarks:
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained nd file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:
4.		d Waste Management Board aintained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:
5.		business or DVBE is utilized, from the Department of ained in the file?	⊠ Yes	□No	□ N/A	Remarks:
6.	When fair and reasonal reasonable method doo justified?	ple is utilized, is the fair and cumented and properly	⊠ Yes	□No	□ N/A	Remarks:
7.	Are purchases split into to circumvent transaction	multiple transactions in order on purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
	purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements re Cal Card Log and the re	conciled with the CHP 317 ecelpts/invoices?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Modesto (465)	Division: Central (401)	Number:
Evaluated by: Captain L. Dunc	Date: .12,15.08	
Assisted by: OSS1 H, Koelm	Date: 12.15.08	

TYPE (OF INSPECTION	Lead Insp	ector's Signal	ture:		1100000		
☐ Div	vision Level	Command Level		_				
□ Ex	ecutive Office Level	Voluntary Self-Inspection	12.14.08					
Fo	ollow-up Required:	☐ Follow-up Inspection	Command	Commander's Signature: Date:				
	Yes 🛛 No		L		۔۔		12.16.08	
For a	oplicable policy, refer to: H	PM 11.2, Chapter 3			12			
1.	Are all employees associate Card program completing the Interest Statement, Employe	e CHP 78S, Conflict of	⊠ Yes	□ No	□ N/A	Remarks:		
2.	Are STD. 21 Drug Free Wor maintained within the Cal Ca each vendor utilized?		⊠ Yes	□No	□ N/A	Remarks:	ž.	
3,	Are STD. 204 Payee Data R in the Cal Card command fil utilized?	Record forms maintained e for each vendor	⊠ Yes	□No	□ N/A	Remarks:		
4,	Are California Integrated Wa Form 74 documents maintai utilized?		☐ Yes	⊠ No	□ N/A	Remarks:	Ş (
5.	If the vendor is a small busing is the certification letter from General Services maintained	the Department of	⊠ Yes	□ No	□ N/A	Remarks:		
6.	When fair and reasonable is reasonable method documer justified?		☐ Yes	□ No	⊠ N/A	Remarks:		
7	Are purchases split into multi to circumvent transaction pur		☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal Card purchase?	Log fully describe the	☐ Yes	⊠ No	□ N/A	generalized d	fice supplies are lue to limited space on however, an itemized maintained	
9.	Are bank statements reconcil Cal Card Log and the receipt		⊠ Yes	□ No	□ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Coalinga Area	Division: Central Division	Number: 495	
Evaluated by: Robert Brunell,	Date: 12/03/2008		
Assisted by: Dave Knoff, ID	Date:		

TYPE	OF INSPECTION	Lead Inspector's Signature:						
☐ Div	vision Level	⊠ Command Level						
⊠ Ex	ecutive Office Level	☐ Voluntary Self-Inspection	RAS BUD					
	ollow-up Required: ☑ Yes ☐ No	Follow-up Inspection	Commander's Signature: Date: 12/22/08					
For applicable policy, refer to: HPM 11.2, Chapter 3								
1.		ociated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	☐ Yes	⊠ No	□ N/A	Remarks: Area Cal-Card users were unaware of the requirement to complete this form.		
2.	2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?			⊠ No	□ N/A	Remarks: They are on file for the majority of vendors, but not all vendors.		
3.	3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?			⊠ No	□ N/A	Remarks: They are on file for the majority of vendors, but not all vendors.		
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?			⊠ No	□ N/A	Remarks: The CIWMB Forms are rarely attached when required.		
5.	of the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?		☐ Yes	⊠ No	□ N/A	Remarks: The certification letters are maintained for approximately half of the vendors.		
6.	When fair and reasonab reasonable method doc justified?	ole is utilized, is the fair and umented and properly	⊠ Yes	□ No	□ N/A	Remarks:		
7.	Are purchases split into to circumvent transactio	multiple transactions in order n purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal (purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:		
9,	Are bank statements red Cal Card Log and the re	conciled with the CHP 317 ceipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:		

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	0. Is the CHP 317 Cal Card Log properly authorized and maintained?	☐ Yes	⊠ No	□ N/A	Remarks: The status of "Required Paperwork" was not always indicated. Associated check boxes are frequently checked and/or omitted in error.
1	Are credit invoices/receipts for returned items maintained with the bank statement?	☐ Yes	□No	⊠ N/A	Remarks: No returns were found.
1	 Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. 	☐ Yes	□ No	⊠ N/A	Remarks: Purchase receipts are itemized.
1	3. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
1.	4. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
1	5. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16	S. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Coalinga Area	Division: Central Division	Chapter: 3 – Cal Card
inspected by:	Date:	
Robert Brunell, I	12/03/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.						
TYPE OF INSPECTION		☑ Corrective Action Plan Included				
☐ Division Level ☐ Command Level		Appeal Included				
☐ Executive Office Level	S#3	Attachments Included				
Follow-up Required:	Forward to: Central Division	Commander's Signature:	Date:			
⊠ Yes □ No	Due Date:					
Chapter Inspection:						
Inspector's Comments Regarding Innovative Practices:						
None Identified.						
Command Suggestions for Statewide Improvement:						

Inspector's Findings:

- Coalinga Area's CAL-Card files and CHP 317 (CAL-Card Logs) for the past three years were reviewed. The following discrepancies were noted during the review:
- Area employees associated with the CAL-Card Program have not completed the CHP 78S,
 Conflict of Interest Statement, Employee form. Area users were unaware of the requirement to complete this form.
- STD. 21 Drug Free Workplace certifications were not maintained for all of the vendors utilized.
 Some of the STD. 21's need to be renewed.
- STD. 204 Payee Data Record forms were not maintained for all of the vendors utilized. Some of the forms need to be renewed and updated forms utilized.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
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COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:
Coalinga Area	Central	3 – CAL-Card
Inspected by:	Date:	
R. Brunell, Serg	12/03/08	

Investigator's Findings (continued)		nvest	tigator's	Findings	(continued)):
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- Several STD. 204's were incomplete, namely Drumright's. Some of the STD. 204 forms need to be renewed, and the latest version of the form has not always been utilized.
- The California Integrated Waste Management Board Form 74 documents were rarely attached to the CAL-Card logs when required by policy and State law.
- Small business or DVBE certification letters from the Department of General Services were maintained for approximately half of the vendors/transactions.
- Area has failed to uniformly and properly code the CHP 317.
 - 1. The SB/MB/DVBE boxes were not always completed.
 - 2. The status of "Required Paperwork" was not always indicated. The "On file" and "Attached" boxes were frequently completed erroneously.

Commander's Response:		
Concur with Inspector's findings.		

Inspector's Comments:

None.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

EXCEPTIONS	DOCUMENT
Page 1	

Command:	Division:	Chapter:
Coalinga Area	Central Division	3 - Cal Card
Inspected by:		Date:
Robert Brunell, ID14612		12/03/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION □ Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Executive Office Level Attachments Included Commander's Signature: Forward to: Date: Follow-up Required: Central Division ⊠ Yes □No Due Date: 4Chapter/Inspection Inspector's Comments Regarding Innovative Practices: None Identified.

Command Suggestions for Statewide Improvement:

- Instructions should accompany the inspection checklists to assist the inspector. Instructions should clearly identify the methodology to be used by the inspector. An inspector should know exactly what to look for; and clear examples should be provided. Alternatively, the Department could conduct training for all personnel before they are utilized as inspectors. Instructions and/or training would greatly enhance the meaning and uniformity of the Department's inspection process.
- Field commands frequently experience changes in personnel. This has been particularly true of Coalinga Area's clerical staff over the past 18 months. Because a fairly complex working knowledge is required to successfully complete the multitude of tasks involved in the procurement process, the turnover of personnel, in general, significantly increases the difficulty of complying with our vague policies when it comes to acquiring the goods and services necessary to run the daily operations of a command. Policies must be developed to provide a clear and concise understanding to employees so that we may act in accordance with state laws as well as assist those within the command tasked with routine inspection and audit of procurement practices. Any policy or procedural changes which would further centralize the procurement process or reduce the turn-over of involved personnel should strongly be considered.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Inspector's Findings:

- Coalinga Area's CAL-Card files and CHP 317 (CAL-Card Logs) for the past three years were reviewed. The following discrepancies were noted during the review:
- Area employees associated with the CAL-Card Program have not completed the CHP 78S,
 Conflict of Interest Statement, Employee form. Area users were unaware of the requirement to complete this form.
- STD. 21 Drug Free Workplace certifications were not maintained for all of the vendors utilized. Some of the STD. 21's need to be renewed.
- STD. 204 Payee Data Record forms were not maintained for all of the vendors utilized. Some of the forms need to be renewed and updated forms utilized.

Investigator's Findings (continued):

- Several STD. 204's were incomplete, namely Drumright's. Some of the STD. 204 forms need to be renewed, and the latest version of the form has not always been utilized."
- The California Integrated Waste Management Board Form 74 documents were rarely attached to the CAL-Card logs when required by policy and State law.
- Small business or DVBE certification letters from the Department of General Services were maintained for approximately half of the vendors/transactions.
- Area has failed to uniformly and properly code the CHP 317.
 - 1. The SB/MB/DVBE boxes were not always completed.
 - 2. The status of "Required Paperwork" was not always indicated. The "On file" and "Attached" boxes were frequently completed erroneously.

Commander's Response:	 8	

Concur with Inspector's findings.

Inspector's Comments:

None.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Coalinga Area	Central	3 – CAL-Card
Inspected by:	Date:	
R. Brunell, Serg	12/03/08	

Required Action		
Corrective Action Plan/Timeline		
All Area employees associated with the CAL-Card pro 12/05/2008.	ogram will complete the CHP 78S no later tha	an
Sergeant Larkin VanderMel, Auto Technician II Terry Courtney received procurement training from the Department		ifer
We will contact the Department's CAL-Card Program A Central Division) in an attempt to obtain access to the documentation (SB/MB/DBVE certification, STD. 204, utilize the Department of General Services internet site Lastly, AT II Terry Taylor, ID A04345, will ensure all repurchases are made. Collectively, these measures will being made in accordance with state law and Department.	database of certified suppliers whose neces STD. 21) is already on file. Alternatively, we to determine the certification status of vent equired documentation is complete at the time. If help ensure all of our CAL-Card purchases	ssary e will dors. ie
Effective immediately (12/03/2008), Terry Taylor will be CAL-Card purchases. Terry Taylor will ensure the purcexplained on the CHP 317 before they are forwarded to	chases are appropriately documented and	
Appeal Process (Appeals shall be filed within five (5) business	s days of the completed chapter inspection)	编記制
Commander's Basis for Appeal:		
N/A.	*)	C
Appeal Review/Decision: (This shall be the only level of appear	al).	
N/A.		
€		
ei .		
Lead Inspector's Signature:	Date: 12 /03/08	(4
Responding Commander's Signature (for appeal):	Date:	